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CORNELL AERONAUTICAL LABORATORY, INC.
OF CORNELL UNIVERSITY

BUFFALO, N. Y.

ANNUAL REPORT

Project PARA
(Perceiving and Recognition Automata)

1 January 1962 - 31 December 1962

Contract Nonr-2381(00)

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REPORT NO.	
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1.0 Project Objectives

The objective of Project PARA is to pursue applied research in the application of perceptrons to practical pattern recognition and control problems.

2.0 Project Activity and Accomplishments

The major areas of project activity and accomplishments in each of these areas during the reporting year were: character recognition, cataloging potential applications, and perceptrons as dynamic controllers.

2.1 Recognition of imperfect, mixed-font, alpha-numeric characters

The feasibility of the recognition of mixed-font, alpha-numeric characters in the presence of noise using a three-layer, simple perceptron was experimentally verified. Character recognition experiments were performed, using perceptrons simulated on CAL's IBM-704, with characters taken from real life. The perceptron simulation programs (written just prior to this reporting year) provide retinal matrices up to 128 elements square, up to 50,000 A-units, and as many R-units as are desired. The characters used as stimuli for the experiments are taken from the two local newspapers and a CAL addressograph. Both retouched clean versions and the real-life noisy versions were used.

Experimental results indicated that a perceptron having only 100 to 200 A-units could be trained to perfect recognition of a training stimulus set which contains three different fonts of clean characters.

Included in this set are upper and lower case letters and the numerals.

Perceptrons trained on these clean characters to recognize one of the characters (single R-unit perceptrons) were able to distinguish about

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two thirds of the noisy characters from the character on which they were trained.

Two sources of difficulty in attaining high character recognition capability were discovered during these experiments. The first problem is the obvious one of how to handle the recognition of noisy characters with a perceptron. Training with clean characters is not adequate. Training with noisy characters is a possibility, but is expensive in both stimulus preparation time and training time. The second problem is the recognition of characters translated on the retina to a position different from that on which training was carried out. It was determined that a very small amount of translation can cause poor recognition.

The problem of the recognition of noisy characters prompted a review of some work started late in 1961 on building a mathematical model of the noise present around the characters and then generating A-unit to R-unit weights based on the statistics of the noise model and the frequency of A-unit activity associated with each stimulus class. A more complete description of this noise theory is given in Appendix B.

2.2 Perceptron applications catalog

A lengthy list of potential perceptron applications was prepared in mid-1962 for the dual purposes of uncovering feasible new applications which might be of broad interest to the Navy and of selecting areas for future research on this project. The initial list was purposely prepared without any actual consideration of feasibility and was then refined by discussion at CAL, and, later, discussions with ONR personnel. One of the most interesting applications was that of using a perceptron to control a physical system having a number of parameters interrelated dynamically in such a way as to tand to make the system unstable. A problem of this type is now being investigated on the project.

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2.3 Multi-dimensional, adaptive control system

The technique for using a perceptron to provide control of a dynamic system is to train it during human control of the system and then, after training, allow the trained perceptron to make corrective control movements and adjustments without human intervention. Of particular interest is the control of a system which has a number of performance requirements interrelated in such a way as to tend to make it unstable. Control of a helicopter is such a problem, but it is much too complicated to be tractable for a modest, exploratory experiment. The helicopter control problem can be simplified, however, to the point where it still remains a challenging control problem for a human controller and at the same time simple enough for a small perceptron. Such a simplified but still challenging problem has been isolated and initial work on an experiment was started during the reporting year. Planning for this research constituted a major effort during the reporting year and, therefore, the experimental plans and equipment are discussed in some detail in the following paragraphs.

The experimental plan is to simulate the dynamics of a system having control problems similar to those of a hovering helicopter on a computer, in real time, with external controls for a human operator. Provision for real time calculations is made by adding a clock input to the computer. A joy stick will be used for input and a visual display for output, with the joy stick controlling the rotor tip plane angle of the simulated simplified helicopter and the visual display indicating pitch and roll of the tip plane and the position of the helicopter.

The perceptron simulation which will be used in the control experiments will be essentially the same as that used for the character recognition experiments discussed above, but the input patterns will be coded

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information concerning course to be traveled or position to be reached, pitch and roll of the simplified helicopter, and some time history of position, pitch, and roll. The R-unit output corresponds to commands such as those provided by the joy stick with a human pilot (rotor tip plane angle). We will attempt to find the parameters of the perceptron providing good control.

The experiments to be performed will consist of a training sequence followed by a testing sequence. Initially a goal will be established. The goal will consist of "flying" to a given destination starting from a reference starting position or of "flying" along a fixed course starting from a reference starting position. During training the human operator will "fly" to the given destination or on the given course using the joy stick and the vehicle dynamics simulated in the computer. The perceptron will observe the patterns of inputs and its R-unit commands will be compared with the command actions of the human pilot. After training, testing will consist of perceptron control of the "flight" using the same simulated vehicle dynamics. Successful training of the perceptron can be measured by the accuracy and speed with which the goal is attained. Figures 1 and 2 in Appendix A are block diagrams of the experimental system under training and testing, respectively.

The experimental runs will range over about 10 seconds, and the range of position, displayed on 5" cathode ray oscilloscope, will be defined by a 64 x 64 point grid. A bright spot on the screen will indicate position, a line segment connected to the bright spot will indicate pitch, and tick marks on the edge of the screen will indicate roll.

The electrical design of the equipment necessary to read pitch and roll from a joy stick and time from a clock into the CAL IBM-704 computer has been completed. The electrical design of the equipment necessary to

display pitch and roll and position on an oscilloscope has been completed and construction of the first chassis is started. Planning the modifications of the perceptron simulation programs, the generation of the simplified helicopter simulation program, the data handling and conversion programs, and the master program to monitor the whole system is under way.

3.0 Publications

The paper "Recognition of Mixed-Font Imperfect Characters" by W. S..

Holmes, H. R. Leland, and J. L. Muerle was published in the book Optical

Character Recognition edited by G. L. Fischer, Jr., D. K. Pollock, B. Raddack, and M. E. Stevens and published in 1962 by Spartan Books of Washington, D.C.

APPENDIX A BLOCK DIAGRAMS OF PERCEPTRON CONTROLLING A DYNAMIC SYSTEM

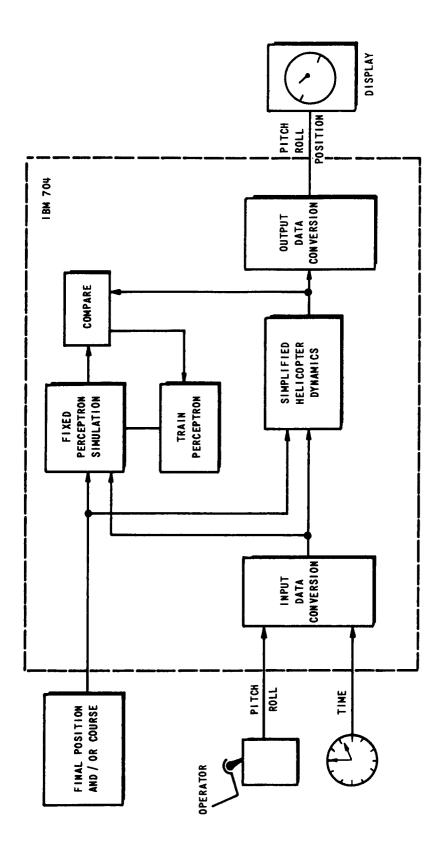
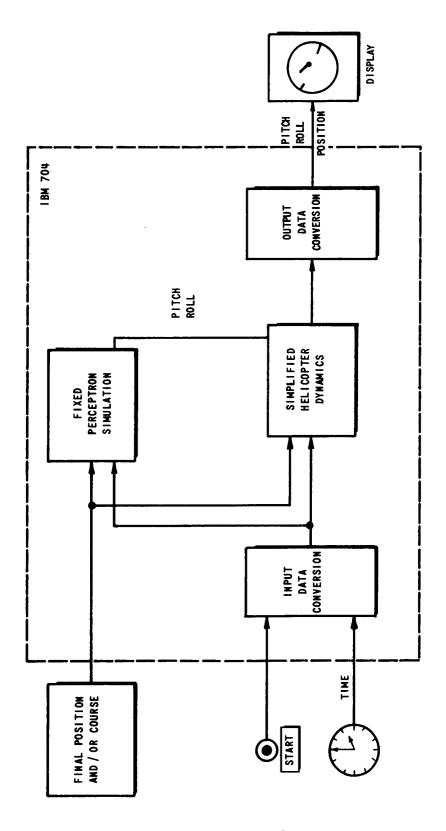


Figure I BLOCK DIAGRAM OF EQUIPMENT DURING TRAINING OF PERCEPTRON



BLOCK DIAGRAM OF EQUIPMENT DURING TESTING OF PERCEPTRON CONTROL Figure 2

APPENDIX B

WEIGHTS AND ERRORS PROBABILITY
FOR DISCRIMINATION IN A NOISY ENVIRONMENT

APPENDIX B

WEIGHTS AND ERRORS PROBABILITY FOR DISCRIMINATION IN A NOISY ENVIRONMENT

B. 1 Summary

This Appendix describes a method for calculating the A-unit weights to be used in a simple perceptron operating in a noisy environment. The (binary) patterns to be discriminated consist of a set of prototypes divided into two classes and corrupted by noise. The noise is characterized by two parameters: the probability that a cell which is a one in the prototype will become a zero, and the probability that a cell which is a zero in the prototype will become a one. Using appropriate independence assumptions, the statistics of the retinal output, the input to an A-unit before thresholding, and the output of an A-unit are computed in turn. The latter provides sufficient information to compute Bayes' rule weights. These results are then used to derive the probability of misclassification.

B. 2 Introduction

Previous attempts to introduce the effects of noise in pattern recognition apparatus of the perceptron class have assumed that noisy versions of the stimuli will be used in training, thus implicitly introducing the effects of noise, or have assumed that a system trained on noise-free patterns will operate satisfactorily in the presence of noise. The first method suffers from the need for a very large sample and consequently long training periods in order to have some assurance of satisfactory performance. The second method is less satisfactory than the first.

This discussion follows the lead of current statistical communication theory and proceeds as follows:

- 1) Set up a mathematical model of the noise.
- 2) Derive the statistical properties of the proposed discrimination technique in the presence of the noise.

Training is not discussed - in fact it is ignored. Recent experimental results obtained at CAL show that, at least in the absence of noise, very satisfactory discrimination is obtained using weights derived from Bayes' rule. Here we will attempt to describe performance with Bayes' rule weights. If better performance is desired, it is probably easier and cheaper to add A-units than to use a training technique.

B. 3 Noise Model

We consider that the classes to be discriminated consist of binary prototype patterns fixed with respect to the retina, with noise. Specifically excluded in this analysis are the effects of translation, rotation, and scale change, and any interactions of noise with such transformations, or with mechanisms designed to remove their effects. Transformed patterns can, of course, be included as additional prototypes.

The noise is defined by two parameters:

- Point, the probability that a retinal point which is a zero in the prototype will be changed to a one by noise;
- P_{10} , the probability that a retinal point which is a one in the prototype will be changed to a zero by noise.

It is also assumed that the noise at each retinal point is statistically independent. We justify this assumption below.

Using this model we find expressions for some useful quantities.

Let r be the output from some specific retinal point.

For a point for which r=1 in the prototype:

$$E(r) = 1 - p_{10}$$
 (B-1)

$$E(r^2) = 1 - p_{10} \tag{B-2}$$

$$V(r) = p_{10} (1 - p_{10})$$
 (B-3)

For a point for which r = 0 in the prototype:

$$\mathcal{E}(r) = \beta_{01} \tag{B-4}$$

$$E(r^2) = f_{01} \tag{B-5}$$

$$V(r) = p_{01}(1 - p_{01}) \tag{B-6}$$

Here E(u) is the expected value of u and V(u) the variance of u over an ensemble of stimuli derived from the same prototype.

B. 4 Machine Model

The pattern recognition machine studied here is familiar as the simple perceptron. It consists of a number of A-units, whose inputs are randomly selected and have unit positive or negative weights. These inputs are summed and compared against a threshold. If the threshold is exceeded, the output of the A-unit is 1, otherwise it is zero. The A-unit outputs are collected in a weighted sum which is again thresholded to produce a classification output.

The symbols used are as follows:

N = total number of inputs to an A-unit

 N_e = number of positively weighted inputs to an A-unit

 N_i = number of negatively weighted inputs to an A-unit

A = total input to the A-unit for the prototype pattern

a = total input to the A-unit for an arbitrary pattern

 $N_{e,O}$ = number of positively weighted inputs which are zero in the prototype

 $N_{e,1}$ = number of positively weighted inputs which are one in the prototype

 $N_{i,0}$ and $N_{i,1}$ are defined similarly

Note that
$$N_{e,0} + N_{e,1} = N_e$$
 (B-7)

$$N_{i}$$
, $_{0} + N_{i}$, $1 = N_{i}$ (B-8)

$$N_e + N_i = N \tag{B-9}$$

$$A = N_{e_{1}} - N_{i_{1}}$$
 (B-10)

X = output from the A-unit

Some of the above symbols may acquire additional subscripts when it is necessary to distinguish various prototype patterns.

Since the inputs to the A-unit are selected at random over the retina, any strictly local dependence of the noise will have no effect on the assumed independence of the noise on the various inputs.

The A-unit input a is a random variable which can assume only integral values. Its probability density (for a particular A-unit) can be defined rigorously in terms of the parameters given above and the binomial distribution. The work is tedious and not very illuminating. Let us pass directly to a Gaussian approximation to this probability density. The work is faciliated by the following table which summarizes the A-unit input situation using data from: Equations B-1 through B-6.

Weight	Value of r in Prototype	E(r)	V(r)	Number of Occurrences
1	0	P01	po1 (1-po1)	$N_e,_0$
1	1	1-10	$p_{01} (1-p_{01})$ $p_{10} (1-p_{10})$ $p_{01} (1-p_{01})$	$N_{e_{1}}$
- 1	0	P01	Po1 (1-Po1)	Ni.0
-1	1	1-10	P10 (1-P10)	$N_i,_1$

From the above we compute the expected value and variance of a.

$$E(a) = N_{e_{10}} P_{01} + N_{e_{11}} (1 - P_{10}) - N_{i_{10}} P_{01} - N_{i_{11}} (1 - P_{10})$$
(B-11)

$$V(a) = N_{e \cdot 0} P_{01}(1 - P_{01}) + N_{e \cdot 1} P_{10}(1 - P_{10}) + N_{i \cdot 0} P_{01}(1 - P_{01}) + N_{i \cdot 1} P_{10}(1 - P_{10})$$
 (B-12)

The relations (B-7) to (B-10) can be used to reduce the above to the following forms:

$$E(a) = A(1 - p_{10} - P_{01}) + (N_e - N_i) p_{01}$$
(B-13)

$$V(a) = Np_{01}(1-p_{01}) + (2Ne_{11} - A) \left[p_{10}(1-p_{10}) - p_{01}(1-p_{02}) \right]$$
 (B-14)

Other forms are of course possible. If we assume that a Gaussian distribution having the parameters given in (B-13) and (B-14) can be used to evaluate the cumulative probability for a we can pass directly to the probability of activity of the A-unit for this prototype.

Prob
$$(\chi = O) = G\left(\frac{\theta \cdot E(\alpha)}{(V(\alpha))!/2}\right)$$
 (B-15)

$$Prob (\chi = 1) = 1 - Prob (\chi = 0)$$
 (B-16)

Where Q is the A-unit threshold and must be an integer + 2

$$G(u) = \int_{-\infty}^{u} \frac{1e^{-t^2/2}}{2\pi}$$
 dt, a tabulated function.

B. 5 Weight Analysis

Equations (B-15) and (B-16) define completely the probability density for a single A-unit output given that the input is derived from a specific prototype, in terms of the noise statistics and the A-unit connection parameters. We now assume the existence of two sets of prototypes which this machine is to attempt to classify correctly using a Bayes' rule classification function. The only other assumption necessary to derive what follows is that the A-unit outputs are statistically independent. This is much harder to accept than the previous independence assumption, but it is supported by recent experimental work at CAL.

The independence assumption leads by a well-known route to the classification function

$$f = log \frac{\pi_i}{770} + \sum log \frac{p_i(i)(x_i)}{p_o(i)(x_i)}$$
 (B-17)

Where \mathcal{H}_l is the prior probability of class 1

 $\mathcal{T}_{\mathcal{O}}$ is the prior probability of class 0

 $p_1^{(i)}(\chi_i)$ is the probability density for the ith A-unit output given that the input belongs to class 1

 $P_0^{(i)}(\chi_i)$ is defined similarly.

If $f \geqslant 0$ we say the input belongs to class 1; otherwise to class 0.

Since the X_i are binary, the function

$$\log \frac{p_1^{(l)}(x_i)}{p_0^{(i)}(x_i)}$$

can be written in the form $W_i X_i + b_i$, where

$$W_{i} = log \left| \frac{p_{i}^{(i)}(1) p_{o}^{(i)}(0)}{p_{o}^{(i)}(1) p_{i}^{(i)}(0)} \right|$$
(B-18)

$$b_{i} = log \frac{p_{i}^{(i)}(0)}{p_{0}^{(i)}(0)}$$
 (B-19)

Thus (B-17) reduces to

$$f = (\log \frac{\pi_i}{\pi_2} + \sum_i b_i + \sum_i \omega_i \times_i$$
 (B-20)

We wish now to use previously developed expressions to define ω_{i} and b_{i} in terms of A-unit parameters and prototype data.

Let $X_{ij} = \text{probability that the } i^{th}$ A-unit output (x_i) is 1 for the j^{th} prototype

 R_j = prior probability of the j^{th} prototype

 \mathcal{C}_o = set of indices of those prototypes belonging to class zero

 C_1 is similarly defined

Now $X_{i_j} = 1 - G \left(\frac{\theta - \mathcal{E}(a_{i_j})}{[V(a_{i_j})]^{\frac{1}{2}}} \right)$ (B-21)

from (15) and (16)

$$p_0^{i}(1) = \frac{1}{m_0} \sum_{j \in C_0} R_j \chi_{ij}$$
 (B-22)

$$p_0^{(i)}(0) = 1 - p_0^{(i)}(1)$$
 (B-23)

$$p_1^{(i)}(1) = \frac{1}{n_1} \sum_{j \in C_1} R_j X_{ij}$$
 (B-24)

$$p_1^{(i)}(0) = 1 - p_1^{(i)}(1)$$
 (B-25)

$$\pi_o = \sum_{j \in C_o} R_j \tag{B-26}$$

$$\pi_1 = \sum_{j \in C_1} R_j \tag{B-27}$$

$$\mathcal{T}_0 + \mathcal{T}_1 = 1 \tag{B-28}$$

Equations (B-13), (B-14), and (B-21) through (B-28) define all the quantities necessary to compute W_i and b_i from Equations (B-18) and (B-19).

B. 6 Error Probability

The intent of the following is to develop an expression for the probability of misclassification using the results already obtained.

Assumptions:

- 1) The χ_i are independent
- 2) The probability density of f can be approximated by a Gaussian.

Let E = probability of misclassification

 f_o = the classification variable when the input belongs to class 0

 f_t = is similarly defined.

$$E = \mathcal{H}_o \text{ (Prob. } f_o > o \text{)} + \mathcal{H}_f \text{ (Prob. } f_i < o \text{)}$$
 (B-29)

The means and variance of f_0 can be found from (B-20) using the following relations:

$$E(x_i) = p_o^{(i)}(t)$$

$$V(x_i) = p_o^{(i)}(o)p_o^{(i)}(t)$$
when the input belongs to class 0
(B-30)

$$E(f_0) = log \frac{\pi_1}{\pi_0} + \sum_i b_i + \sum_i W_i p_0^{(i)}(1)$$
 (B-32)

$$V(f_0) = \sum_{i} W_i^2 p_0^{(i)}(0) p_0^{(i)}(1)$$
 (B-33)

Similarly,

$$E(f_{t}) = \log \frac{\pi_{t}}{\pi_{0}} + \sum_{i} b_{i} + \sum_{i} W_{i} p_{t}^{(i)}(1)$$
(B-34)

$$V(f_{i}) = \sum_{i} W_{i}^{2} \rho_{i}^{(i)}(0) \rho_{i}^{(i)}(1)$$
(B-35)

Using (B-32) - (B-35) in (B-29) yields

$$E = \pi_o \left[1 - G\left(\frac{-\mathcal{E}(f_o)}{[V(f_o)]^{1/2}}\right) \right] + \pi_t G\left(\frac{-\mathcal{E}(f_t)}{[V(f_t)]^{1/2}}\right)$$
(B-36)

which is the desired result.

B. 7 Special Case of Discrimination in a Noisy Environment

Special cases are often useful in furthering understanding. With this objective, we consider the following specialization of the general results described above.

B. 7. 1 Assumptions

The following additional assumptions are used:

1) The noise is symmetric
$$p_{of} = p_{fo} = p$$
 (B-37)

2) The number of excititory connections is equal to the number of inhibitory connections.

$$N_e = N_i = N/2$$
 (B-38)

3) There are only two input prototypes, one of each class

It is interesting to note that the reduced problem is very much like signaling over a binary symmetric channel, a much-analyzed problem of communication theory.

B. 7.2 Results

Using the assumptions, key results of the reference become as follows:

(B-13)
$$E(a_{ij}) = A_{ij}(1-2\rho)$$
 (B-39)

(B-14)
$$V(a_{ij}) = N_p(1-p)$$
 (B-40)

$$(B-21) X_{ij} = 1-G\left(\frac{\theta - E(a_{ij})}{[V(a_{ij})]^{\frac{1}{2}}}\right) (B-41)$$

(B-22)
$$p_o^{(i)}(l) = X_{io}$$
 (B-42)

(B-24)
$$p_{i}^{(i)}(t) = X_{i,t}$$
 (B-43)

Using (B-41), (B-42), (B-43), (B-23), and (B-25):

$$p_o^{(i)}(o) = G\left(\frac{\theta - E(\alpha_{io})}{[V(\alpha_{io})]^{\frac{1}{2}}}\right)$$
 (B-44)

$$p_{1}^{(i)}(o) = G\left(\frac{\theta - E(a_{i1})}{[V(a_{i1})]^{\frac{1}{2}}}\right)$$
 (B-45)

Equation (B-18) may be transformed as follows:

$$W_{i} = log \left[\frac{1}{p_{i}^{(i)}(0)} - 1 \right] - log \left[\frac{1}{p_{i}^{(i)}(0)} - 1 \right]$$
 (B-46)

Substitution of (B-44) and (B-45) in (B-46) leads to functions of the form $\log \left[\frac{1}{G(\mu)}-1\right].$ Some computation supplemented by a small amount of analysis yields the following surprisingly good approximation:

$$ln\left[\frac{1}{G(\mu)}-1\right] \approx -2\sqrt{\frac{2}{\pi}} \quad \mu$$
 (B-47)

Using (B-47) and henceforth taking all logarithms to the base e:

$$W_{i} = -2\sqrt{\frac{2}{\pi}}\left(\frac{\theta - E(a_{i1})}{\int V(a_{i1})\int b}\right) + 2\sqrt{\frac{2}{\pi}}\left(\frac{\theta - E(a_{i0})}{\int V(a_{i0})\int b}\right) \quad (B-48)$$

We may now use (B-39) and (B-40) in (B-48) and note a gratifying amount of cancellation.

$$W_{i} = 2\sqrt{\frac{2}{\pi}} \sqrt{\frac{1-2\rho}{N\rho(i-\rho)}} \left[A_{i,1} - A_{i,0} \right]$$
 (B-47)

Note that any positive multiple of f, the classification function, is as good as the original. Let us, therefore, let

$$f^* = \frac{\sqrt{\pi N \rho (1-\rho)}}{2\sqrt{2} (1-2\rho)} f$$
 (B-50)

Note that we must make the restriction $p < \frac{f}{2}$.

Then (B-20) becomes:

$$f^* = T + \sum_{i} (A_{ii} - A_{io}) z_i$$
 (B-51)

$$T = \frac{\sqrt{\pi N \rho (1-p)}}{2\sqrt{2} (1-2\rho)} \left(\log \frac{\pi_l}{\pi_0} + \sum_i b_i \right)$$
 (B-52)

B. 7.3 Interretation

Note that the weights as expressed in (B-51) depend only on the prethreshold A-unit input for the two prototypes. Thus, if the assumptions are met, we can readily fix the weights in advance without knowledge of the degree of noisiness of the environment. The decision threshold $\mathcal T$ is a complex expression whose significance is not yet known. It is possible that it depends only weakly upon ρ .

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